

Substitute for form 1449A/PTO
(Revised 10/2001)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number 09/679,848
Filing Date October 5, 2000
First Named Inventor May
Group Art Unit 2161
Examiner Name Kyle, Charles
Attorney Docket Number 38866/204614

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GROUP 3600

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	Document Number Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
CRK	1	US-5,101,353	03-31-1992	Lupien et al.	
CRK	2	US-5,270,922	12-14-1993	Higgins	
CRK	3	US-5,594,639	01-14-1997	Atsumi	
CRK	4	US-5,819,237	10-06-1998	Garman	
CRK	5	US-5,845,266	12-01-1998	Lupien et al.	
CRK	6	US-5,950,175	09-07-1999	Austin	
CRK	7	US-6,014,643	01-11-2000	Minton	
CRK	8	US-6,098,051	08-01-2000	Lupien et al.	
CRK	9	US-6,134,600	10-17-2000	Liu	

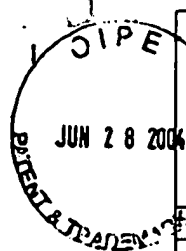
FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document Country Code - Number Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
CRK	10	EP 0 512 702 A2	11-11-1992	Reuters Limited		
CRK	11	EP 0 647 866	04-12-1995	Alcatel Cavi S.p.A		
CRK	12	CH 675 982	11-30-1990	Puchert, Gerhard, Yverdon		
CRK	13	WO 98 43121	10-01-1998	Zarian, James R.; Robbins, John A.		

Examiner Signature Charles Kyle Date Considered 12/26/04

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

* Application Number as intended by Applicant. CRK 1/4/05



Substitute for form 1449B/PTO (Revised 10/2001) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)	Complete if Known	
	Application Number	09/169,878 09/679848 *
	Filing Date	October 12, 1998
	First Named Inventor	May
	Group Art Unit	2161
Examiner Name	Benton, M.	JUL 6 2004
Sheet 2 of 2	Attorney Docket Number	38866/204614

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
CRK	13	RABATIN, Adaptive Portfolio Trading Strategies for Forex Portfolios, Journal, April 1997, Pages 1-11, Issue 4, Rabatin Investment Technology	
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SKK	15	AVANZATO, How to Use The Collateral Carousel, Journal, January 1998, Pages 29-31, Issue 0262-6969, International Financial Law Review	
CRK	16	LUDWIG, Supervision by Risk, Journal, November 1995, Pages 52-60, Issue 1062-6271, Journal of Commercial Lending	
CRK	17	Derivatives Tool Merger, Report, February 19, 1996, Page 4, Volume 28, Number 4, Issue 1042-7252, Software Industry Report	
CRK	18	MAGUIRE, Details on Derivatives AIG Breaks Down Exposure, Journal, June 13, 1994, Page 1, Volume 4, Number 23, The Insurance Accountant	
CRK	19	TDC Symbology Guide, Article, November 2001, Pages 1-14, Track Data Corporation, Brooklyn, United States	

Examiner Signature	Charles Kf	Date Considered	12/26/04
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